



# File Documentation



STATE OF CALIFORNIA  
DEPARTMENT OF GENERAL SERVICES  
PROCUREMENT DIVISION



# PURPOSE OF FILE DOCUMENTATION

- To provide orderly record of contract process
- To easily understand transactions
- To locate documents quickly and easily



# TOPICS

- Definitions
- Procedure
  - When to have documentation
  - What documentation is necessary
  - Documentation order
  - Service Contracts
  - Simple Transactions
  - Responsibilities



# TOPICS CONTINUED

- IMPORTANCE
  - Audits
  - Protests
  - Public Suppliers
  - Ease of locating information



# DEFINITIONS





# FILE DOCUMENTATION PROCEDURE

- When to have Documentation
- What Documentation is Necessary
- Documentation Order
- Service Contracts
- Simple Transactions
- Responsibilities



# WHEN TO HAVE DOCUMENTATION

- Procurement Transactions each require their own documentation:
  - Initial Contract Award
  - Change to Contract
  - Contracts that can be placed independently
  - Exercise of Contract Options



WHAT DOCUMENTATION  
IS NECESSARY?





# ✓ A File Documentation Checklist



# ✓ Post Award Administration Documentation



# ✓ Procurement Summary



# ✓ Contract Documents



✓ Solicitation



# ✓ Solicitation Responses



# ✓ Single/Sole Source Approval



✓ Authority to Buy





# DOCUMENTATION ORDER

- Must follow the File Documentation Checklist
- Reverse chronological order (typically)
- Each section shall be separated by a divider



# SERVICE CONTRACTS

- Must follow the requirements of the State Contracting Manual
- A Procurement Summary is required
  - form 15 may serve that purpose



# SIMPLE TRANSACTIONS

- File Documentation Checklist NOT Required
- Recommended Organization
  - Post-Award Administration Documentation
  - Procurement Summary
  - Contractual Document
  - Solicitation
  - Solicitation Responses
  - Single/Sole Source Approval
  - Authority to Buy



# RESPONSIBILITIES

- Buyers shall prepare file documentation
- Approving authorities designate required submitted documentation
- Buyers send closed contracts to storage
- Records management destroy files at expiration



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# FILE DOCUMENTATION PROCEDURE

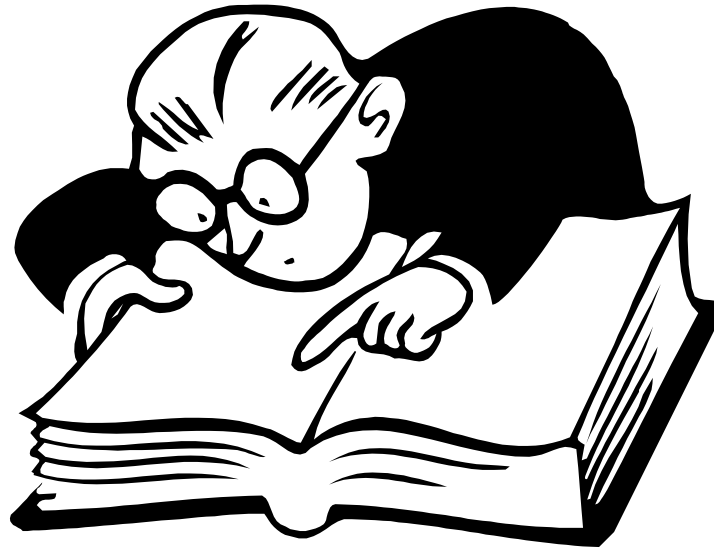
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# IMPORTANCE OF FILE DOCUMENTATION

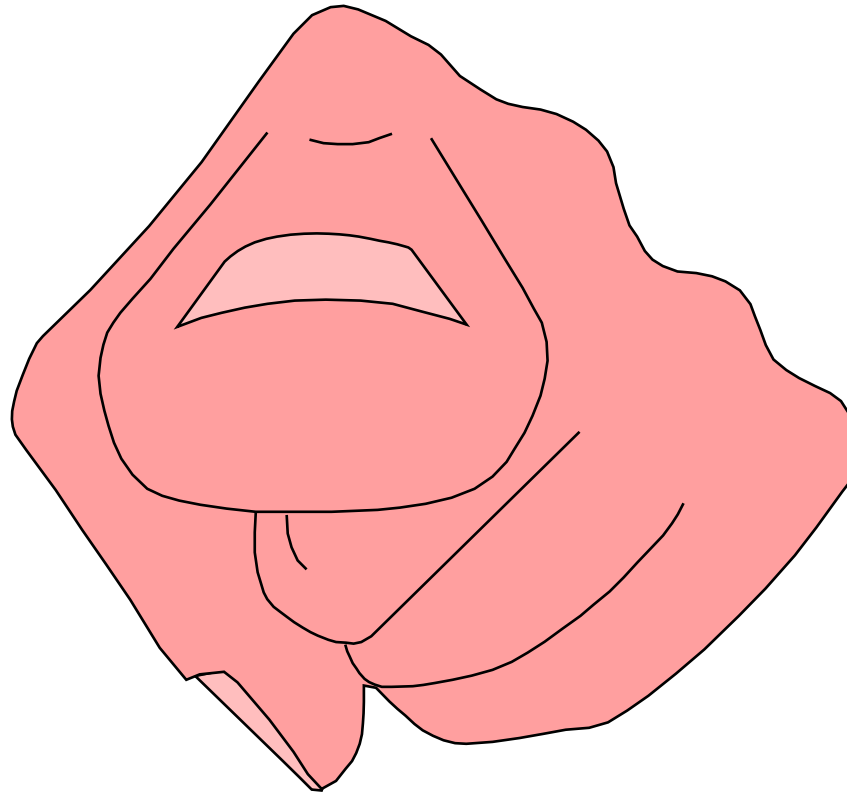


# AUDITS





# PROTESTS



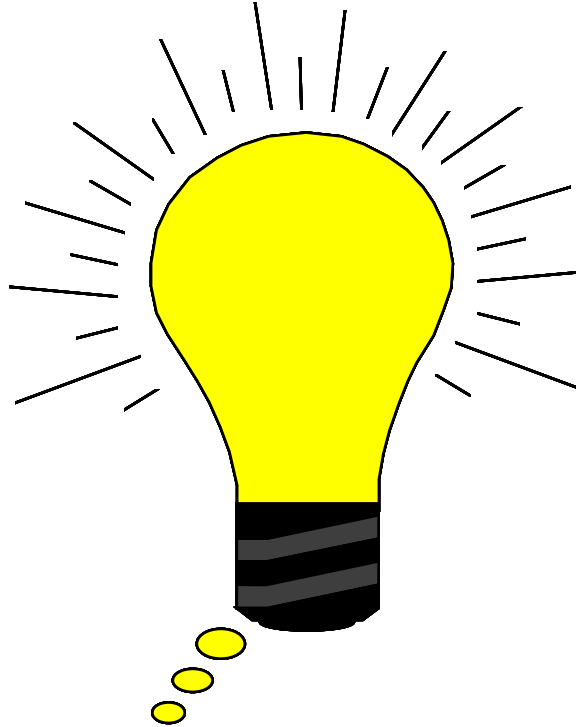


# PUBLIC / SUPPLIERS





# EASE OF LOCATING







# RECAP WHAT WE'VE LEARNED

- Definitions
- Procedure
  - When to have documentation
  - What documentation is necessary
  - Documentation order
  - Service Contracts
  - Simple Transactions
  - Responsibilities



# RECAPPING...

- Importance
  - Audits
  - Protests
  - Public / Suppliers
  - Ease of locating information





**STATE OF CALIFORNIA**  
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**PROCUREMENT DIVISION**

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